PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE are required to respond to a collection of information unless it displays a valid OMB control number Under the Paperwork Reduction Act of 1995, no persons Application Number 10/709,176 T#RANSMITTAL Filing Date 4/19/2004 First Named Inventor **FORM** BYWATERS ET AL. OCT 1 2 2005 Art Unit 3745 **Examiner Name** all correspondence after initial filing) (to be used [8 TRADEMARY
Total Number of Pages in This Submission Attorney Docket Number 04-018 129 **ENCLOSURES** (Check all that apply) After Allowance Communication to TC **√** Fee Transmittal Form Drawing(s) Appeal Communication to Board Licensing-related Papers Fee Attached of Appeals and Interferences Appeal Communication to TC Petition Amendment/Reply (Appeal Notice, Brief, Reply Brief) Petition to Convert to a **Proprietary Information** After Final Provisional Application Power of Attorney, Revocation Status Letter Affidavits/declaration(s) Change of Correspondence Address Other Enclosure(s) (please Identify Terminal Disclaimer **Extension of Time Request** below): Request for Refund **Express Abandonment Request** CD, Number of CD(s) Information Disclosure Statement Landscape Table on CD Certified Copy of Priority Remarks Document(s) Reply to Missing Parts/ Incomplete Application Reply to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Name Northern Power Systems, Inc. Signature Printed name Dave S. Christensen Date Reg. No. October 6, 2005 40,955 **CERTIFICATE OF TRANSMISSION/MAILING** I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below: Signature morrina Nancy L. Tracanna Date October 6, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Typed or printed name

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Fo	First Named I	nventor Byv	vaters et al.				
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Check Credit	Card	Money Order N	one Other	(please identify	·):		
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FEE CALCULATION	•						
1. BASIC FILING, SEA							
	FILING	FEES SEA	ARCH FEES Small Entity		ATION FEES Small Entity		
Application Type	Fee (\$)	Fee (\$) Fee		Fee (\$)	Fee (\$)	Fees Paid (\$)	
Utility	300	150 500	250	200	100		
Design	200	100 100	50	130	65		
Plant	200	100 300	150	160	80		
Reissue	300	150 500	250	600	300		
Provisional	200	100	0	0	0		
Fee Description	2. EXCESS CLAIM FEES Fee Description Small Entity Fee (\$) Fee (\$)						
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Fee Description				<u>Fee (\$)</u>	<u>Fee (\$)</u>
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Multiple depend	lent claims	_	•	360	180
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3. APPLICATION S	SIZE FEE				
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If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets Extra Sheets Number of each additional 50 or fraction thereof Fee (\$) Fee Paid (\$) - 100 = / 50 = (round up to a whole number) x 4. OTHER FEE(S) Fees Paid (\$)

Non-English Specification, \$130 fee (no small entity discount) Other (e.g., late filing surcharge):

SUBMITTED BY Registration No. 40,955 Telephone 203-678-2122 Signature Name (Print/Type) Dave S. Christensen Date October 6, 2005

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

OCT 12 2005 W

INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER

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Applicant:	Bywaters et. Al.)
Serial No.:	10/709,176) Group Art Unit: 3745
Filed:	April 19, 2004))) Examiner:
For:	DIDECT DRIVE WIND TURRING)

Commissioner for Patents Alexandria, VA 22313-1450

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT WITHIN THREE MONTHS OF FILING DATE OR BEFORE MAILING OF FIRST TROFFICE ACTION

Sir:

In accordance with 37 C.F.R. § 1.56, the materials listed on the attached form PTO-1449 are being brought to the attention of the Examiner for consideration in connection with the examination of the above-identified patent application.

Each document contained in the information disclosure statement submitted herewith was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

The filing of this information disclosure statement shall not be construed to be a representation that a search has been conducted, nor shall it be construed as an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

It is respectfully requested that the Examiner return a copy of the attached form PTO-1449 with initials or other appropriate marks indicating consideration of the cited materials.

Respectfully submitted,

Dave S. Christensen Registration No. 40,955

Date:

October 6, 2005

Address: Telephone:

10 Technology Drive, Wallingford, CT 06492

Facsimile:

203-678-2122 203-949-8017

Customer No.:

41405

Substitute for form 1449/PTO

Sheet 1

PTO/SB/08A (08-03) Approved for use through 07/31/2006, OMB 0651-0031

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INFORMATION DISCLOSURE STATEMENT

(Use as many sheets as necessary)

of 2

Complete if Known Application Number 10/709,176 Filing Date April 19, 2004 First Named Inventor Bywaters et al. Art Unit 3745 **Examiner Name** Attorney Docket Number 04-018

			U. S. PATEN	DOCUMENTS	<u> </u>
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ^{2 (# known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1	^{US-} 2003/194310-A1	10-16-2003	Canini et al.	Paragraph 0046-0048
	2	^{US-} 6285090-B1	09-04-2001	Brutsert et al.	Col 2, Col 3
-	3	^{US-} 2004/041409-A1	03-04-2004	Gabrys et al.	
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Examiner Initials*	Cite No.¹	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
muais	NO.	Country Code ³ Number ⁴ Kind Code ⁵ (if known)	MM-DD-YYYY	Applicant of Cited Document	Or Relevant Figures Appear	⊤°
	4	WO-03/023943-A	03-20-2003	Casazza et al.	Page 3,4,7,10	
	5	DE-4402184-A1	08-03-1995	Klinger et al.	Col 3,Line18-26	
	6	WO-00/70219-A	11-23-2000	Le Nabour et al	Page 3, 6, 9	
	7	WO-02/057624	07-25-2002	Wobben	Page 3, Par 5-7	

Examiner	Date	
Signature	Considered	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁶Kind of document the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

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Substitute for form 1449/PTO			,	Complete if Known		
	•			Application Number	10/709,176	
			CLOSURE	Filing Date	April 19, 2004	
STATEMENT BY APPLICANT				First Named Inventor	Bywaters et al.	
	(Use as many she	ets as n	ecessary)	Art Unit	3745	
			,, 	Examiner Name		
Sheet	2	of	2	Attorney Docket Number	04-018	

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	8	JEAN-MARC FERNANDEZ, International Search Report Form PCT/ ISA/206, Dated July 27, 2005	1
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considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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